# INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) Application Number 10603998 Filing Date 2003-06-25 First Named Inventor Bennett Art Unit 2654 Examiner Name Richemond Dorvil Attorney Docket Number PHO 99002CIP

	U.S.PATENTS				Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5765130		1998-06-09	Nguyen	
	2	5794193		1998-08-11	Gorin	
	3	5956675		1999-09-21	Setlur et al.	
	4	6018736		2000-01-25	Gilai et al.	
	5	6021384		2000-02-01	Gorin et al	
	6	6122613		2000-09-19	Baker	
	7	6173261		2001-01-09	Arai et al.	
	8	6269153		2001-07-31	Carpenter et al.	

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		10603998
Filing Date		2003-06-25
First Named Inventor Benne		ett
Art Unit		2654
Examiner Name Riche		emond Dorvil
Attorney Docket Number		PHO 99002CIP

	9	6519562		2003-02-11		Phillips et al.					
	10	6651043		2003-11-18		Ammicht					
	11	6842767		2005-01-11		Partovi et al.					
If you wisl	n to ac	ld additional U.S. Pater	t citatio	n inform	ation pl	ease click the	Add button.		Add		
			U.S.P.	ATENT	APPLIC	CATION PUBL	ICATIONS		Remove		
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date		of cited Document		Releva		Lines where	
	1										
If you wisl	n to ac	ld additional U.S. Publis	shed Ap	plication	citation	n information p	lease click the Add	button	Add		
				FOREIC	N PAT	ENT DOCUM	ENTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Kind Code <sup>2</sup> j Code <sup>4</sup>			Publication Date	Name of Patentee Applicant of cited Document	or   v   F	here Rel	or Relevant	T5
	1										
If you wish to add additional Foreign Patent Document citation information please click the Add button Add											•
NON-PATENT LITERATURE DOCUMENTS Remove											
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.							T5		
	1	BUO, Finn Dag et al., "Learning to parse spontaneous speech." Believed to be published In ICSLP, 1996, 4 pages.									

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		10603998
Filing Date		2003-06-25
First Named Inventor	Benn	ett
Art Unit		2654
Examiner Name Riche		emond Dorvil
Attorney Docket Number		PHO 99002CIP

	2	GOLDEN, J. et al., "Automatic Topic Identification for Two-level Call Routing," Proc. International Conference on Acoustics, Speech and Signal Processing, volume 1, pp. 509-512, 1999.						
	3	CARBONELL, J. et al., "Dynamic strategy selection in flexible parsing.) In Proceedings of the 19th annual meeting of the ACL (ACL 81), 1981, pp. 143-147.						
	4	SENEFF, S. et al., "Galaxy-II: a Reference Architecture for Conversational System Development," Believed to be published in Proceedings of ICSLP98 (1998), 4 pages.						
	5	MICROSOFT INTERNET DEVELOPER, "Add Natural Language Search Capabilities to Your Site with English Query," http://www.microsoft.com/mind/0498/equery.asp, 1998, 9 pages.						
	6	CARROLL, J. et al., "Dialogue Management in Vector-Based Call Routing," Believed to be published In Proceedings of the Annual Meeting of the Association for Computational Linguistics, 1998, pp. 256-262.						
	7	KAISER, Ed., "Robust, Finite-state Parsing for Spoken Language", Student Session of ACL '99, June 1999, pp. 573-578.						
If you wis	h to ac	d add	ditional non-patent literature document citation information pl	lease click the Add b	utton Add			
			EXAMINER SIGNATURE					
Examiner	Examiner Signature Date Considered							
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								
<sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.								

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		10603998
Filing Date		2003-06-25
First Named Inventor Benne		ett
Art Unit		2654
Examiner Name Riche		emond Dorvil
Attorney Docket Number		PHO 99002CIP

		CERTIFICATION	STATEMENT				
Plea	ase see 37 CFR 1	.97 and 1.98 to make the appropriate selection	on(s):				
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).						
OF							
	foreign patent of after making rea any individual de	information contained in the information difice in a counterpart foreign application, an sonable inquiry, no item of information contaesignated in 37 CFR 1.56(c) more than threat 1.97(e)(2).	d, to the knowledge of thained in the information di	e person signing the certification sclosure statement was known to			
	See attached cer	tification statement.					
	Fee set forth in 3	7 CFR 1.17 (p) has been submitted herewith	1.				
<b>✓</b>	None						
		SIGNA					
	ignature of the ap n of the signature.	plicant or representative is required in accord	dance with CFR 1.33, 10.1	8. Please see CFR 1.4(d) for the			
Sigi	Signature /John N. Gross/ Date (YYYY-MM-DD) 2006-03-30						
Nar	ne/Print	John N. Gross	Registration Number	34175			
pub 1.14	lic which is to file ( I. This collection i	mation is required by 37 CFR 1.97 and 1.98 (and by the USPTO to process) an application s estimated to take 1 hour to complete, inclued USPTO. Time will vary depending upon the	n. Confidentiality is gover ding gathering, preparing	rned by 35 U.S.C. 122 and 37 CFR and submitting the completed			

require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria**,

VA 22313-1450.

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- 2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.